Sample Selection Handout

Major Impact: The residents selected are representative enough of the concerns that it allowed the State Agency Team to validate or invalidate the identified concerns.

State Agency Team Concern: Pressure Sores

Phase 1: Team selects three residents for pressure sores. During the investigation, the team discovers the residents selected do not have pressure sores.

Phase 2: Facility's Wound Report identifies five residents with pressure sores, two facility acquired.

Team does not carry over pressure sores.

Sample inadequate for investigating pressure sores.

(2) SAMPLE SELECTION

Effectiveness with which the Survey Team selected and modified a resident sample throughout the survey based on identified concerns and survey procedures

DESCRIPTION OF SURVEY TEAM BEHAVIOR
Over the course of the survey, the sample accurately reflected the identified concerns. Throughout the survey, the residents sampled were optimal for confirming or invalidating all identified concerns and investigating them as possible deficiencies. The sample was case-mix stratified.
Exceeded the description for a rating of "3" but did not meet the description for a rating of "5"
Over the course of the survey, the sample reflected most of the identified concerns. Although a sample could have been selected that would have yielded more information about the identified concerns, this lack of optimality had no major impact on the team's effectiveness in confirming or invalidating those concerns or investigating them as possible deficiencies.
The sample was case-mix stratified. Exceeded the description for a rating of "1" but did not meet the description for a rating of "3"
Over the course of the survey, the sample failed to reflect several of the concerns that were (or should have been) identified. The characteristics of the sample made it inadequate for confirming or invalidating the identified concerns and had a substantial impact on the team's effectiveness in investigating them as possible deficiencies. The sample was not case-mix stratified.

Rating (1-5)		
Supporting N	larra	tive

Indi	cato	rs
		ne box beside each indicator that the team could work on to improve their ance on the measure.
	A.	Analyzed and integrated information from various sources and determined its significance for the sample selection
	B.	Correctly followed the sample selection specifications in the SOM
	C.	Used the tour to assess the pre-sample and to add or substitute appropriate residents
	D.	Shared information among team members

DEPARTMENT OF HEALTH AND HUMAN SERVICES HEALTH CARE FINANCING ADMINISTRATION

Roster / Sample Matrix

0.55 11	5, , ,				
Offsite	Phase 1_X	Phase 2	Prov #	FOSS Training	

				Resident Characteristics														\neg																						
			Tatal Canada (7		eview	Ė	<u> </u>		,																								一							
Resident Number	Resident Room	Surveyor Assigned	Total Sample: 15 Phase 1 9 Phase 2 6 Individual Interview (I) 4 Family Interview (F) 2 Closed Record (CL) 2 Comprehensive (C) 4 Focused Review (F) 9 WHP=5	Interview:Indiv/Fam	Closed Rec/Compr/Focus	Privacy/Dignity Issues	Social Services	Choices	Abuse/Neglect	Clean/Comfort/Homelike	Falls/FX/Abras/Bruise	Behavior Symp/Depression	9 or more Meds	Cognitive Impairment	Incont/Toilet Program	Catheter	Fecal Impaction	UTI/Inf Control/Antibio	Wt/Nutr/Swallow/Denture	Tube Feeding	Dehydration	Bedfast Residents	ADL Decline/Concern	ROM/Contract/Position	Psychoactive Meds	Physical Restraints	Activities	Pressure Sores/Ulcers	Pain/Comfort	Language/Communication	Vision/Hearing/Devices	Specialized Rehab	Assistive Devices	Hospice	Dialysis	O2/Respiratory	Admit/Trans/Disch	MR/MI (Non-Dementia)		
											X	X			Eli	minat	ion		Nutri	tion		Ph	ys. Fu	ınct		X _{of}	Life		X			X								
			Resident Name			1	2	3	4	5	6	(Q)	8	9	10	11	12	13	14	15	16	17	18	19	2	\bigcirc	22	23	\bigcirc	25	26	\bigcirc	28	29	30	31	32	33	34	35
1			P.G.		С									1		1		1		1			1	✓		√ SR				✓			1							
2			D.H.	F	С								1	1	1										✓		1						1			✓				
3			L.S.		С								✓						✓				1	✓			1						✓							
4			J.M.	I	F								1		✓	1		✓									✓													
5			D.K.	F	С						1		1						1				✓		✓		1		✓	✓										
6			T.H.		F								✓	1				✓				1					1			✓	✓	✓								
7			S.P.		F								✓		✓							1	✓	✓						✓			✓							
8			E.G.	I	F							1												✓												✓				
9			A.W.	I	F						1				1			1						✓															igwdown	_
																																								_
																																								_
																																								_

DEPARTMENT OF HEALTH AND HUMAN SERVICES	
HEALTH CARE FINANCING ADMINISTRATION	

IEA															Of	fsite_		Phase	1	PI	nase	2 <u> </u>	<u></u> P	rov #_	F	-oss	Train	ing		_									
				Re	eview	For S	Surve	yor L	Jse													Re	sider	nt Ch	arac	terist	ics												
Resident Number	Resident Room	Surveyor Assigned	Total Sample: 15 Phase 1 Phase 2 Individual Interview (I) Family Interview (F) Closed Record (CL) Comprehensive (C) Focused Review (F)	Interview:Indiv/Fam	Closed Rec/Compr/Focus	Privacy/Dignity Issues Social Services	Choices	Abuse/Neglect	Clean/Comfort/Homelike	Falls/FX/Abras/Bruise	Behavior Symp/Depression	9 or more Meds	Cognitive Impairment	Incont/Toilet Program	Catheter	Fecal Impaction	UTMINT Control Antibio	Wt/Nutr/Swallow/Denture	Tube Feeding	Dehydration	Bedfast Residents	ADL Decline/Concern	ROM/Contract/Position	Psychoactive Meds	Physical Restraints	Activities	Pressure Sores/Ulcers	Pain/Comfort	Language/Communication	Vision/Hearing/Devices	Specialized Rehab	Assistive Devices	Hospice	Dialysis	O2/Respiratory		MR/MI (Non-Dementia)		
														Eli	minati				lutritic		Ph	ys. Fu	ınct		Q of	fLife	X									X			
			Resident Name			1 2	3	4	5	6	7	8	9	10	11	12	(13)	14	15	16	17	18	19	20	21	22	(S)	24	25	26	27	28	29	30	31	3	33	34	35
10			P.K.	I	F																																		
11			L.N.		F																																		
12			R.M.		F																																		
13			V.B.		F																																		
14			F.S.		CL																																		
15			B.B.		CL																																		
			3																																				

SAMPLE SELECTION Participant Handout

Scenario

The RO Evaluator, through review of Offsite materials provided by the SA Team, observations of the Initial Tour, and observation of the Phase 1 and Phase 2 sampling meeting, **has collected the following information** for evaluating the effectiveness with which the SA Team selected and modified a resident sample based on identified concerns and survey procedures:

Offsite Survey Preparation

- Three QIs flagged over the 75 percentile:
 - Behaviors
 - Falls
 - Restraints
- Additional Concerns were identified for:
 - Pain
 - Specialized Rehab
- Offsite sample selected represented all concerns but restraints.

Initial Tour

- No new concerns were identified by the SA Team.
- The RO Evaluator noted 6 residents were restrained in their wheelchairs, 3 with vest restraints and 3 with lap restraints. One resident was in bed wearing a vest restraint. The SA surveyor did not make notes of these restraints, nor did he ask the facility nurse, who was touring with him, about the restraints.
- The RO Evaluator toured with another state surveyor on the Alzheimer's Unit. The facility staff identified ten residents with aggressive behaviors. Two residents were identified as exhibiting physical abuse to other residents and three residents who had eloped form the facility. The facility nurse further reported that all residents were on a behavior program and were under control.
- A third state surveyor toured the skilled Medicare Unit. During the tour, three residents expressed to the surveyor they were experiencing excruciating pain and the medication was providing relief. Four residents complained that they were not receiving assistance with ambulation and physical therapy.